



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant:	HUELER et al.	Examiner:	Dass, H.
Serial No.:	09/520,825	Group Art Unit:	3628
Filing Date:	March 8, 2000	Docket No.:	HUEC.300US01
Title:	ELECTRONIC COMMUNICATION SYSTEM AND METHOD FOR FACILITATING FINANCIAL TRANSACTION BIDDING AND REPORTING PROCESSES		

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CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence and the papers, as described hereinabove, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 10, 2007.

By:

*Bennae Johnson*  
Bennae Johnson

COMMUNICATION

MAIL STOP APPEAL BRIEF - PATENTS

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

The "Notification of Non-Compliant Appeal Brief" dated April 5, 2007 has been received. This notification indicates that the brief does not contain an appropriate summary of the subject matter as required under 37 C.F.R. § 41.37(c)(1)(v). Particularly, the notification indicates that although a summary was provided that refers to the specification by page and line number, it did not identify each independent claim (1, 8 and 10) in the appeal. While a summary was provided for each of the independent claims, the summary did not include a specific identification of the independent claim to which each summary portion was correlated.



According to M.P.E.P § 1205.03, when the Office holds the brief to be defective solely due to appellant's failure to provide a summary as required by Rule 41.37(c)(1)(v), an entire new brief should not be filed. Rather, a paper providing a summary of the claimed subject matter as required by the rule will suffice. This communication, and attached replacement "SUMMARY OF CLAIMED SUBJECT MATTER", complies with M.P.E.P § 1205.03. Entry of the replacement section is respectfully solicited.

Respectfully submitted,

**HOLLINGSWORTH & FUNK, LLC**  
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Date: April 10, 2007

By: \_\_\_\_\_

Steven R. Funk  
Reg. No. 37,830

## **V. SUMMARY OF CLAIMED SUBJECT MATTER**

The present invention is generally directed to electronically communicating investment plan information between money managers and issuers of investment contracts to facilitate plan inquiry and bidding processes. While investment contracts used to consist of a single provider/single product environment, they have diversified to a greatly expanded multiproduct/provider stable value industry. Embodiments of the present invention are directed to methods and systems that aid stable value managers (buyers) and stable value issuers (sellers) in electronically communicating investment plan information to create proposed investment plan contracts.

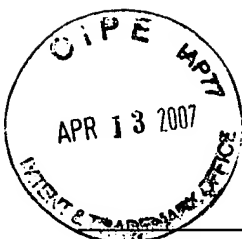
One embodiment of the present invention set forth in independent Claim 1 is directed to an electronic communication method for facilitating financial transactions between buyers and sellers of investment contracts. (*e.g.*, FIG. 1 ref# 14, 16, 20; FIG. 2 ref# 30, 32, 88 and corresponding description). The method includes defining, via a buyer computing arrangement, an import specification which identifies database format characteristics of investment plan information stored in a first database (*e.g.*, FIGs. 36-38 and 45; Specification at page 33, line 5 through page 36, line 17; page 39, line 22 through page 40, line 2), and mapping data fields, via the buyer computing arrangement, from the first database to data fields in a second database to create a data import map where the data fields in the second database are predefined data fields (*e.g.*, FIG. 39, 45, ref# 612, 620, 645, 884; Specification at page 36, lines 18-25, page 40, lines 2-9). The investment plan information is imported, via the buyer computing arrangement, into the predefined data fields of the second database according to the import specification and data import map (*e.g.*, FIG. 43, ref# 820, 832; FIG. 45, ref# 874; Specification at page 38, lines 21-31; page 40, lines 2-9). The investment plan information of the second database is transferred, via the buyer computing arrangement, to a central database accessible by investment contract sellers (*e.g.*, FIG. 2, ref# 30, 32, 84; FIGs. 50, 51, 52, 56; Specification at page 45, line 6 through page 48, line 11). The investment plan information is stored at the central database in a plurality of secure database locations each of which is respectively accessible to investment contract sellers who are authorized by the investment contract buyers to receive the investment plan information (*e.g.*, FIG. 50; Specification at page 45, line 6 through page 46, line 8). The investment plan information is electronically transferred from the secure database locations of the central database to seller computing

arrangements of the authorized investment contract sellers upon initiation by the authorized investment contract sellers via the seller computing arrangements (*e.g.*, FIG. 50; Specification at page 45, line 6 through page 46, line 8). Respective proposed investment contracts are then created from the investment plan information received via the central database (*e.g.*, FIG. 50, FIG. 60; Specification at page 5, lines 18-20; page 50, line 8 through page 52, line 9). Another embodiment set forth in independent Claim 10 is directed to a computer-readable medium having computer-executable instructions for facilitating financial transactions between buyers and sellers of investment contracts in the manner described above. (*e.g.*, Claim 10; FIG. 3; Specification at page 16, line 16 through page 17, line 9).

Another embodiment set forth in independent Claim 8 is directed to a transaction processing system for facilitating financial transactions between buyers and sellers of investment contracts. (*e.g.*, FIG. 1 ref# 14, 16, 20; FIG. 2 ref# 30, 32, 88 and corresponding description). The system includes a central database (*e.g.*, FIG. 1, ref# 20; FIG. 2, ref# 32, 84) accessible by the investment contract buyers (*e.g.*, FIG. 1, ref# 10, 14) and the investment contract sellers (*e.g.*, FIG. 1, ref# 16), and at least one computing device (*e.g.*, FIG. 2, ref# 30) that has storage and a user interface to interface to the computing device (*e.g.*, FIG. 3). The user interface includes at least a display (*e.g.*, FIG. 3, ref# 68) and means for entering data (*e.g.*, FIG. 3, ref# 70; Specification at page 17, lines 2-6). The computing device includes means for defining an import specification identifying database format characteristics of investment plan information stored in a first database accessible by the computing device (*e.g.*, FIG. 1 ref# 14, 16, 20; FIG. 2 ref# 30, 32, 88; FIG. 3, ref# 52), and means for mapping data fields from the first database to data fields in a second database accessible by the computing device to create a data import map where the data fields in the second database are predefined fields (*e.g.*, FIG. 3, ref# 52; FIG. 39, 45, ref# 612, 620, 645, 884; Specification at page 36, lines 18-25, page 40, lines 2-9). Means for importing the investment plan information into the predefined data fields of the second database according to the import specification and data import map are provided in the computing device (*e.g.*, FIG. 3, ref# 52; FIG. 43, ref# 820, 832; FIG. 45, ref# 874; Specification at page 38, lines 21-31; page 40, lines 2-9). The computing device also includes means for transferring the investment plan information to the central database (*e.g.*, FIG. 3, ref# 52, 58; FIG. 2, ref# 30, 32, 84; FIGs. 50, 51, 52, 56; Specification at page 45, line 6 through page 48, line 11), and means for identifying the investment contract sellers who are authorized

by the investment contract buyers to receive the investment plan information (*e.g.*, FIG. 3, ref# 52; FIG. 50; Specification at page 45, line 6 through page 46, line 8). The central database includes means for releasing the investment plan information to only the investment contract sellers identified by the investment contract buyers as authorized to receive the investment plan information. (*e.g.*, FIG. 3, ref# 52; FIG. 50; Specification at page 45, line 6 through page 46, line 8). Appellant notes that a single structure may correspond to multiple “means” limitations. *See, e.g., Winbond Electronics Corp. v. International Trade Commission*, 4 Fed.Appx. 832, C.A.Fed., 2001.

As required by 37 C.F.R. § 41.37(c)(1)(v), a concise explanation of the subject matter defined in each of the independent claims involved in the appeal is provided herein. Appellant notes that representative subject matter is identified for each of these claims; however, the abundance of supporting subject matter in the application prohibits identifying all textual and diagrammatic references to each claimed recitation. Appellant thus submits that other application subject matter, which supports the claims but is not specifically identified above, may be found elsewhere in the application. Appellant further notes that this summary does not provide an exhaustive or exclusive view of the present subject matter, and Appellant refers to the appended claims and their legal equivalents for a complete statement of the invention.



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By:   
Bennae Johnson

TRANSMITTAL

MAIL STOP APPEAL BRIEF - PATENTS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

We are submitting herewith the following:

- ☒ Transmittal Sheet containing 1.8 Certificate.
- ☒ Communication addressing April 5, 2007 Notification of Non-Compliant Appeal Brief (1 page).
- ☒ Replacement section (**SUMMARY OF CLAIMED SUBJECT MATTER**) for Jan. 29, 2007 Appeal Brief (3 pages).
- ☒ Return Postcard

Authorization is hereby given to charge any additional fees or credit any overpayments that may be deemed necessary to Deposit Account No. 50-3581 (HUEC.300US01).

Respectfully submitted,

**HOLLINGSWORTH & FUNK, LLC**  
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Minneapolis, MN 55425  
952.854.2700 (x11)

Date: April 10, 2007

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Steven R. Funk  
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